



# ALABAMA DEPARTMENT OF HUMAN RESOURCES REQUEST FOR PROPOSALS

PROCUREMENT INFORMATION	
<b>RFP Number:</b> 2008-100-09	<b>RFP Title:</b> <i>Family Outcome-Centered Unification Services (FOCUS)</i>
<b>Proposal Due Date and Time:</b> <i>Tuesday, May 13, 2008</i> 12:00 p.m., Central Time	<b>Number of Pages:</b> 43
<b>Procurement Officer:</b>  Starr Stewart Phone: (334) 353-4744 E-mail Address: starr.stewart@dhr.alabama.gov Website: http://www.dhr.alabama.gov	<b>Issue Date:</b> <i>Tuesday, April 01, 2008</i>
	<b>Issuing Division:</b>  <i>Family Services</i>

INSTRUCTIONS TO VENDORS	
<b>Submit Proposal to:</b>  Starr Stewart – Policy, Planning and Research Alabama Department of Human Resources Gordon Persons Building, Room 2344 50 Ripley Street Montgomery, AL 36130-4000	<b>Label Envelope/Package:</b>  RFP Number: 2008-100-09 Proposal Due Date: <i>Tuesday, May 13, 2008</i> <b>Special Instructions:</b>

VENDOR INFORMATION	
(Fill in the information fields below and return this form with RFP response)	
<b>Vendor Name/Address:</b>	<b>Authorized Vendor Signatory:</b>  (Please print name and sign in ink)
<b>Vendor Phone Number:</b> (     )	<b>Vendor FAX Number:</b> (     )
<b>Vendor Federal I.D. Number:</b>	<b>Vendor E-mail Address:</b>
Indicate whether this proposal is an original or a copy. <input type="checkbox"/> Original <input type="checkbox"/> Copy	
<b>Trade Secret Declarations:</b> ( <u>reference section/page(s) of trade secret declarations</u> )	

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## VENDOR'S RFP CHECKLIST

1. \_\_\_\_\_ **Read the entire document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contractual requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).
2. \_\_\_\_\_ **Note the procurement officer's name, address, phone numbers and e-mail address.** This is the only person you are allowed to communicate with regarding the RFP.
3. \_\_\_\_\_ **Attend the pre-proposal conference** if one is offered. These conferences provide an opportunity to ask clarifying questions, obtain a better understanding of the project, or to notify the Department of any ambiguities, inconsistencies, or errors in the RFP.
4. \_\_\_\_\_ **Take advantage of the "question and answer" period.** Submit your questions to the procurement officer by the due date listed in the Schedule of Events and view the answers given in the formal "addenda" issued for the RFP. All addenda issued for an RFP are posted on the Department's website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) and will include all questions asked and responses concerning the RFP.
5. \_\_\_\_\_ **Follow the format required in the RFP** when preparing your response. Provide point-by-point responses to all sections in a clear and concise manner.
6. \_\_\_\_\_ **Provide complete answers/descriptions.** Read and answer **all** questions and requirements. Don't assume the Department or evaluation committee will know what your company capabilities are or what items/services you can provide, even if you have previously contracted with the Department. The proposals are evaluated based solely on the information and materials provided in your response.
7. \_\_\_\_\_ **Use the forms provided**, i.e., cover page, budget forms, certification forms, etc.
8. \_\_\_\_\_ **Check the Department's website for RFP addenda.** It is the vendor's responsibility to check the Department's website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) for any addenda issued for this RFP, no further notification will be provided.
9. \_\_\_\_\_ **Review and read the RFP document again** to make sure that you have addressed all requirements. Your original response and the requested copies must be identical and be complete. The copies are provided to the evaluation committee members and will be used to score your response.
10. \_\_\_\_\_ **Submit your response on time.** Note all the dates and times listed in the Schedule of Events and within the document, and submit all required items on time. Late proposal responses are *never* accepted.

**This checklist is provided for assistance only and should not be submitted with Vendor's response.**

## SCHEDULE OF EVENTS

*The following RFP Schedule of Events represents the Department's best estimate of the schedule that will be followed. Unless otherwise specified, the time of day for the following events shall be between 8:00 a.m. and 4:30 p.m., Central Time. The Department reserves the right, at its sole discretion, to adjust this schedule, as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the Department's website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) as detailed in Section 1.5.3 of this RFP. Vendors should refer to the website periodically for changes to the RFP.*

<b>EVENT</b>	<b>DATE</b>
<b>RFP Issue Date.....</b>	<b>April 01, 2008</b>
<b>Deadline for Receipt of Written Questions.....</b>	<b>April 15, 2008</b>
<b>Deadline for Posting of Written Responses to Questions .....</b>	<b>April 22, 2008</b>
<b>Pre-Proposal Conference .....</b>	<b>April 24, 2008</b>
<b>Deadline for Submission of Proposals .....</b>	<b>May 13, 2008</b>
<b>Evaluation of Proposal and Selection of Vendors .....</b>	<b>May 27-30, 2008</b>
<b>Intended Date for Notice of Intent to Award a Contract .....</b>	<b>June 06, 2008</b>

## **SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS**

### **1.0 PROJECT OVERVIEW**

The ALABAMA DEPARTMENT OF HUMAN RESOURCES, (hereinafter referred to as “the Department”) invites you to submit a proposal to establish/operate a Family Outcome-Centered Unification Services (FOCUS) Program to deliver intensive family preservation services and re-unification services in the following areas: Central Alabama, East Alabama, East Central Alabama, Jefferson/Shelby, Northeast Alabama, Northwest Alabama, Southeast Alabama, Southwest Alabama, Tuscaloosa Hub, West Central Alabama. The regions/counties to be served and the number of monthly slots (families to be served) that will be available for each area is as follows:

- ☐ **Central Alabama** (Bullock, Butler, Crenshaw, Lowndes, Montgomery, Pike counties) **18 slots per month;**
- ☐ **East Alabama** (Chambers, Coosa, Elmore, Lee, Macon, Russell, Tallapoosa counties) **8 slots per month;**
- ☐ **East Central Alabama** (Calhoun, Cherokee, Clay, Cleburne, Randolph, St. Clair, Talladega counties) **24 slots per month;**
- ☐ **Jefferson/Shelby** (Jefferson and Shelby counties) **58 slots per month;**
- ☐ **Northeast Alabama** (Blount, Cullman, DeKalb, Etowah, Jackson, Marshall, Morgan counties) **18 slots per month;**
- ☐ **Northwest Alabama** (Colbert, Franklin, Lauderdale, Lawrence Fayette, Lamar, Marion, Walker, Winston, Madison and Limestone counties) **57 slots per month;**
- ☐ **Southeast Alabama** (Barbour, Coffee, Covington, Dale, Geneva, Henry, Houston counties) **46 slots per month;**
- ☐ **Southwest Alabama** (Baldwin, Choctaw, Clarke, Conecuh, Escambia, Mobile, Monroe, Washington counties) **45 slots per month;**
- ☐ **Tuscaloosa Hub** (Bibb, Greene, Hale, Pickens, Sumter, Tuscaloosa counties) **12 slots per month;** and
- ☐ **West Central Alabama** (Autauga, Chilton, Dallas, Marengo, Perry, Wilcox counties) **19 slots per month.**

FOCUS Programs will be required to provide short-term intensive in-home interventions to help alleviate situations and conditions within families where removal of children from the home is imminent. Programs can also expect to receive referrals where children have been removed from their homes and re-unification with family or relatives is the permanency goal. Vendors will not be required to use a prescribed specific model identified by the Department in the provision of services but must indicate in their proposals what nationally-recognized, evidence-based model will be used as a basis for service delivery.

### **1.1 ELIGIBLE ENTITIES**

Eligible entities may include governmental agencies, faith-based organizations, non-governmental public or private organizations and individuals who: 1) are legally authorized to conduct business within the State of Alabama; 2) possess a high degree of professional skill in the area of service described in this document; 3) possess the skills needed to perform the services described in this RFP; and, 4) meet the terms and conditions of the RFP. In addition, applicants must demonstrate the ability to manage Department funds in accordance with Federal and State regulations and guidelines.

### **1.2 CONTRACT TERM**

The contract term is for a period of **two (2) years** beginning **October 01, 2008** and ending **September 30, 2010**. Renewals of the contract, as agreed upon by both parties, may be made at *one (1)* year intervals, or any interval

**SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS**

that is advantageous to the Department, not to exceed a total of *two (2)* years, at the option of the Department.  
***Selected Vendors must be fully operational on Wednesday, October 01, 2008.***

### **1.3 POINT OF CONTACT**

From the date this Request for Proposal (RFP) is issued until the vendor selection is announced, all communication must be directed to the procurement officer in charge of this solicitation. **Vendors must not communicate with any Department staff or officials regarding this procurement with the exception of the procurement officer.** Any unauthorized contact will disqualify the Vendor from further consideration. Contact information for the point of contact is as follows:

**Starr Stewart – Policy, Planning and Research  
Alabama Department of Human Resources  
50 Ripley Street, Room 2344  
Montgomery, AL 36130-4000  
Telephone Number: (334) 353-4744  
E-mail Address: [starr.stewart@dhr.alabama.gov](mailto:starr.stewart@dhr.alabama.gov)**

### **1.4 REQUIRED REVIEW**

#### **1.4.1 REVIEW RFP**

Vendors should carefully review the instructions, mandatory and general requirements, project specifications, and the standard terms and conditions in this RFP. After a thorough review of the RFP, if the Vendor identifies any ambiguity, inconsistency, unduly restrictive specifications, or error, promptly notify the procurement officer identified above in writing, via e-mail or courier by the deadline for receipt of questions as stated in the Schedule of Events.

#### **1.4.2 VENDOR'S QUESTIONS**

Vendors with questions or requiring clarification regarding any section of this RFP must reference the RFP by title and number and submit written questions via e-mail or courier to the procurement officer referenced above by 3:00 p.m. (CST) ***Tuesday, April 15, 2008***. Each question must reference the section, page, and item in question. Vendors must submit all questions posed in a single email message to the procurement officer. Questions received after the deadline will not be considered.

#### **1.4.3 DEPARTMENT'S RESPONSES**

The Department will provide an official written answer by ***Tuesday, April 22, 2008*** to all questions received by ***April 15, 2008***. The Department's response will either provide clarification of the applicable issue or be in the form of a correction to this RFP. Vendor questions and the Department's responses, as well as any formal written addendum will be posted on the Department's website at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) by the close of business on the date listed.

### **1.5 MANDATORY REQUIREMENTS**

All requirements described in this RFP are considered mandatory. Vendor's proposals ***must*** meet all general and mandatory requirements to be eligible for consideration. The Department will determine whether a Vendor's proposal complies with the requirements. Proposals that do not meet all requirements listed in this RFP may be subject to point reductions during the evaluation process or may be deemed non-responsive. Proposals that do not meet the requirements 1.5.1 through 1.5.5 will be deemed non-responsive and no other consideration will be given.



### **1.5.1 DEADLINE FOR RECEIPT OF PROPOSALS**

Proposals must adhere to the format requirements and must be received by the deadline for receipt of proposals as specified in the Schedule of Events and Section 1.8.1 *Required Copies and Deadline for Receipt of Proposals*.

### **1.5.2 LEGAL STATUS LETTER OR TAXPAYER IDENTIFICATION VERIFICATION**

Vendors must include a legible copy of their taxpayer identification letter from the Internal Revenue Service. If the legal status letter is not available, a completed and signed copy of the **“Request for Taxpayer Identification Number”** form (*Appendix B*) must be included.

### **1.5.3 DISCLOSURE STATEMENT**

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000. Disclosure Statements may be downloaded from the State Purchasing website at [www.purchasing.alabama.gov](http://www.purchasing.alabama.gov) for completion. Vendors must include a completed copy of the Disclosure Statement in their proposal.

### **1.5.4 IMMIGRATION STATUS FORM**

Vendors must submit a signed copy of the immigration status form with their proposal.

### **1.5.5 AUTHORIZED VENDOR SIGNATORY**

Vendors must provide an original proposal using the format described, with an original signature of person(s) legally authorized to bind the applicant to the proposal.

## **1.6 PRE-PROPOSAL CONFERENCE**

A mandatory **Pre-Proposal Conference** will be conducted in the **Skills Center-Room 2302 (Second Floor) of the Gordon Persons Building, 50 Ripley Street, Montgomery, Alabama 36130 on Thursday, April 24, 2008 at 10:00 a.m.** Vendors may use this opportunity to ask clarifying questions, obtain a better understanding of the project or to notify the Department of any ambiguity, inconsistency, or error discovered upon examination of this RFP. All responses to questions at the Pre-Proposal Conference will be oral and in no way binding on the Department.

## **1.7 GENERAL REQUIREMENTS**

### **1.7.1 ACCEPTANCE OF STANDARD TERMS AND CONDITIONS**

By submitting a response to this RFP, Vendor agrees to acceptance of the standard terms and conditions of this RFP. Requests for additions or exceptions to the standard terms and conditions including any necessary licenses, or any added provisions must be submitted to the procurement officer by the due date for receipt of written questions and must be accompanied by an explanation of why the exception is being sought and what specific effect it will have on the Vendor's ability to respond to the RFP or perform the contract.

***Note:** The Department reserves the right to not enter into a new contract with a current vendor who is under a corrective action plan until all corrective requirements have been met.*

### **1.7.2 UNDERSTANDING OF SPECIFICATIONS AND REQUIREMENTS**

By submitting a response to this RFP, Vendor agrees to an understanding of and compliance with the specifications and requirements described in this RFP.

### **1.7.3 PRIME CONTRACTOR/SUBCONTRACTORS**

The prime contractor if a contract is awarded shall be responsible, in total, for all work of any subcontractors. All subcontractors, if any, must be listed in the proposal. The contractor shall not assign, transfer or subcontract

**SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS**

any portion of the contract without the written consent of the Department. The Contractor shall be responsible to the Department for the acts and omissions of all subcontractors or agents and of persons directly or indirectly employed by such subcontractors, and for the acts and omissions of persons employed directly by the Contractor. Any awards made as a result of this document will create a contractual relationship between the Contractor and the Department, not the subcontractor.

**1.7.4 VENDOR'S SIGNATURE**

An individual authorized to legally bind the organization submitting the proposal must sign the original proposal in ink. The Vendor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion that would preclude the Department from obtaining the best possible service for the best possible price.

**1.8 SUBMITTING A PROPOSAL**

**1.8.1 REQUIRED COPIES AND DEADLINE FOR RECEIPT OF PROPOSALS**

Vendors must submit one (1) original proposal and **seven (7)** copies and one (1) electronic (PDF preferred) copy on CD or DVD clearly labeled with the Vendor name to:

**Starr Stewart, Policy, Planning and Research  
Alabama Department of Human Resources  
Gordon Persons Building, Room 2344  
50 Ripley Street  
Montgomery, AL 36130-4000**

Proposals must subscribe to the section/subsection headings and numbering format as specified in *Section 4 Proposal Format and Instructions*. Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to **RFP# 2008-100-09**. ***Proposals must be received at the receptionist's desk of Policy, Planning and Research by 12:00 p.m., local time, Tuesday, May 13, 2008. Prior to due date, proposals may be delivered Monday through Friday between the hours of 8.00 a.m. and 4:30 p.m. Faxed and electronically submitted responses to requests for proposals are NOT accepted.***

**1.8.2 FAILURE TO COMPLY WITH INSTRUCTIONS**

Vendors failing to comply with these instructions may be deemed non-responsive or subject to point deductions. The Department may also choose to not evaluate, and disqualify from further consideration any proposals that do not follow the format described in Section 4: *Proposal Format and Instructions*, are difficult to understand or read, or are missing any requested information.

**1.8.3 BUDGET FORMS**

Vendors ***must*** respond to this RFP by utilizing the RFP Budget Forms found in *Appendix E*. These budget forms will be used as the primary representation of each Vendor's cost/price, and will be used extensively during proposal evaluations. Additional information should be included as necessary to explain in detail the Vendor's cost/price.

**1.8.4 TIMELY SUBMITTED PROPOSALS**

All timely submitted proposals and materials received in response to this RFP become the property of the Department and will be incorporated into any formal documentation and/or contract resulting from this RFP between the Department and the Vendor.

**1.8.5 LATE PROPOSALS**

***Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration.*** It shall be the Vendor's sole risk to assure delivery at the receptionist's desk at the designated

**SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS**

office by the designated time. Late proposals will not be opened and may be returned to the Vendor at the expense of the Vendor or destroyed if requested.

## **SECTION 2: STANDARD INFORMATION**

### **2.0 AUTHORITY**

This RFP is issued under the authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3<sup>rd</sup> Sp. Sess., p 817, §1.). Any awards resulting from this RFP will be made based on stated evaluation criteria. The weight assigned to each criterion denotes the relative importance of that criterion. No criteria, other than that identified in this RFP, will be used.

### **2.1 VENDOR COMPETITION**

In accordance with 45 CFR 74.43, the Department encourages free and open competition among Vendors. Whenever possible, the Department will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the Department's need to procure technically sound, cost-effective services and supplies.

### **2.2 NONDISCRIMINATION**

In accordance with 45 CFR 74.44, no person shall be excluded from participation in, be denied benefits of, be discriminated against in the admission or access to, or be discriminated against in treatment or employment in the Department's contracted programs or activities on the grounds of handicap and/or disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal or Alabama State Constitutional or statutory law; nor shall they be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of contracts with the Department or in the employment practices of the Department's contractors. Accordingly, all Vendors entering into contracts with the Department shall, upon request, be required to show proof of such nondiscrimination and to post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

### **2.3 IMMIGRATION STATUS**

Vendor's authorized person(s) within the agency must sign and submit *Appendix D* on the immigration status of all workers to be employed for the services described in this procurement. Vendors must attest that all workers will be citizens of the United States or at the time of employment will be in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

### **2.4 PROPOSAL EFFECTIVE PERIOD**

All proposals submitted in response to this RFP shall be effective for a 180-day period following the deadline for receipt of proposals as specified in the Schedule of Events and may not be modified, withdrawn or canceled by the Vendor during this period.

### **2.5 TRADE SECRETS**

As part of the initial evaluation, the procurement officer in charge of this solicitation will review proposals received in response to this RFP, for any information deemed a "trade secret" by the vendor and separate identified parts of proposal from public viewing providing the following conditions have been met: (1) confidential information is clearly marked and separated from the rest of the proposal; (2) the proposal does not contain confidential material in the cost or price section; and (3) an affidavit from a Vendor's legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade secrets. The Vendor's Legal Counsel must use the Department of Human Resources "Affidavit for Trade Secret Confidentiality" form when requesting the trade secret claim. The affidavit form (*Appendix C*) is included in this RFP.

**SECTION 2: STANDARD INFORMATION**

Information separated out under this process will be available for review only by the procurement officer, the evaluation committee members, and limited other designees. Vendors must be prepared to pay all legal costs and fees associated with defending a claim for confidentiality in the event of a “right to know” (open records) request from another party.

## **2.6 PRE-SCREENING AND EVALUATION OF PROPOSALS**

### **2.6.1 PRE-SCREENING**

During the pre-screening, proposals will be reviewed to ensure compliance with all general and mandatory requirements. Upon completion of this initial review they will be classified “responsive” or “non-responsive”. However; proposals may be found non-responsive at any time during the evaluation process if the proposal does not meet the formatting requirements specified in the RFP; if any of the required information is not provided; or the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP. Proposals declared non-responsive, will not receive further consideration.

### **2.6.2 EVALUATION OF PROPOSALS**

All responsive proposals will be evaluated against the stated criteria. However, this does not preclude the Department from any discussions/negotiations or requests for a best and final offer that it may deem necessary to assist in determining the Vendor. In scoring against stated criteria, the Department may consider such factors as accepted industry standards and a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors to determine the most advantageous offering to the Department.

## **2.7 DISCUSSION/NEGOTIATION AND/OR ORAL PRESENTATION/PRODUCT DEMONSTRATION**

After receipt of all proposals and prior to the determination of the award, the Department may initiate discussions with one or more Vendors should clarification or negotiation be necessary. Vendors may also be required to make an oral presentation and/or product demonstration to clarify their RFP response or to further define their offer. In either case, Vendors should be prepared to send qualified personnel to **Montgomery, Alabama**, to discuss technical and contractual aspects of the proposal. Oral presentations and product demonstrations, if requested, shall be at the Vendor’s expense.

## **2.8 BEST AND FINAL OFFER**

The Department reserves the right to request a “best and final offer” for this RFP based on price/cost alone, from one or more Vendors if additional information is required to make a final decision. Vendors may be contacted asking that they submit their “best and final offer,” which must include any and all discussed and/or negotiated changes.

## **2.9 PUBLIC REQUESTS FOR INFORMATION**

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available to the public upon requests shortly after the signing of a contract(s) with the exception of: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any financial information requested by the Department, unless prior written consent has been given by the Vendor.

## **2.10 COST OF PREPARING A PROPOSAL**

The Department is not liable for any expense incurred by the Vendor in the preparation and presentation of their proposal or any other costs incurred by the Vendor prior to execution of a contract. All costs are the responsibility of the Vendor.

## **2.11 DEPARTMENT'S RIGHTS RESERVED**

While the Department has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the Department to award and execute a contract. Upon determination such actions would be in its best interest, the Department, in its sole discretion, reserves the right to the following:

### **2.11.1 PRE-SELECTION DISCRETION**

The Department reserves the right at its sole discretion, at any time and for any reason, to reject any or all of the proposals submitted in response to this RFP, or to cancel this RFP, if it is deemed by the Department to be in its best interest to do so.

### **2.11.2 POST-SELECTION DISCRETION**

Upon selection of a proposal, the Department reserves the right, at its sole discretion, at any time and for any reason, to change its decision with respect to the selection and to select another proposal, or to cancel the RFP, if it is deemed by the Department to be in its best interest to do so.

### **2.11.3 WAIVERS**

Notwithstanding the amendment provisions otherwise set forth herein, the Department reserves the right at its sole discretion, to waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver in the event the Department determines that such award is in the best interest of the Department. Minor irregularities are those which will not have a significant adverse effect on the overall program cost or performance.

### **2.11.4 NEGOTIATIONS**

The Department reserves the right to negotiate with any vendor whose proposal is within the competitive range, as specified in the RFP with respect to technical plan and cost, as well as to select a vendor other than the vendor offering the lowest price.

### **2.11.5 ADOPTION OF IDEAS**

The Department reserves the right to adopt to its use all or any part, of a vendor's proposal and to use any idea or all ideas presented in a proposal.

### **2.11.6 ORAL PRESENTATIONS**

The Department reserves the right to require some or all of the vendors to provide oral presentations of their proposals.

### **2.11.7 AMENDMENTS**

The Department reserves the right to amend the RFP. Except as provided above with respect to "WAIVERS" made by the Department, all amendments to the RFP will be made by written addendum issued by the Department and posted to the web at [www.dhr.alabama.gov](http://www.dhr.alabama.gov) under this RFP link.

### **2.11.8 NO GUARANTEE OF CONTRACT**

Selection of a proposal shall not be binding upon the Department and may or may not, at the Department's sole discretion, result in the Department entering into a contract with the vendor if it is in the best interest of Department not to proceed with contract execution.

### **2.11.9 RIGHT TO INVESTIGATE AND REJECT**

The Department may make investigations as deemed necessary to determine the ability of the Vendor to perform the services specified. The Department reserves the right to reject any proposal if the evidence submitted by, or investigation of, the Vendor fails to satisfy the Department that the Vendor is properly

**SECTION 2: STANDARD INFORMATION**

qualified to carry out the obligations of the contract. This includes the Department's ability to reject the proposal based on negative references.

**2.11.10 DISCLAIMER**

Issuance of this RFP does not constitute a commitment by the Department to select any proposal submitted in response to the RFP, or to award a contract to any vendor who responds to this RFP.

*Note: All contracts awarded by this Department are subject to review and approval by the Legislative Oversight Committee and the Governor's Office.*

## **SECTION 3: SCOPE OF PROJECT**

### **3.0 DESCRIPTION OF SERVICES**

FOCUS Programs are intensive, short-term crisis intervention programs that are designed to aid in maintaining children in their own homes or the homes of relatives. FOCUS programs will be utilized by county Departments as a resource to serve families in which at least one child is at imminent risk of removal from the parents'/caretakers' home due to abuse or neglect or is returning home after placement. The goal of the program is to preserve and reunify families, while ensuring the safety of children and helping families learn new skills to stay together successfully. All referrals to FOCUS are made by DHR services staff in the counties served. FOCUS Programs may not serve families in counties outside the specifically designated service area. The FOCUS worker shall work with no less than four (4) families at a time and no more than six (6). The FOCUS worker or a backup must be available to their families on a 24-hour a day, 7-day a week basis. A flexible work schedule enables workers to be available to their families when families are available and/or when families are experiencing difficulty.

### **3.1 PROGRAM SPECIFICATIONS**

Vendors must describe the methodology to be utilized in providing the services required in this procurement. The methodology must be based on a nationally recognized, evidence-based model of in-home service delivery that is expected to achieve a high rate of success in maintaining intact families. Vendors must understand that all training of staff in the utilization of the model that is selected will be at their expense and that no wholesale training of providers by State DHR will be provided.

#### **3.1.1 POPULATION TO BE SERVED**

Only families referred by the County Department of Human Resources in the counties served by the vendor will be eligible to receive services through FOCUS. At least one child in the home must be at risk of disruption to receive intensive in-home preventive services. Intensive in-home re-unification services may be provided to families, where children have been removed and 'return to parent' or 'place with relative' is the permanency goal. Sibling groups that are in more than one placement may be served by FOCUS, as well.

#### **3.1.2 REFERRAL PROCEDURE**

County DHR employees will make verbal referrals to the vendor of FOCUS services for referrals during regularly scheduled office hours. Counties may at their discretion have an identified staff person to make all referrals or allow individual social workers make their own referrals. A FOCUS staff person must be accessible to take referrals through a pager system or other reliable means during all non-office hours (i.e.: 24 hours a day, 7 days a week, including weekends and holidays). Vendors must describe in detail in their proposals how after-hours referrals will be handled to provide emergency services when safety is an issue. It will be expected that selected vendors will reject no more than 15% of the referrals made within a calendar year. Vendors that reject more than 15% of the referrals made within a calendar year may have the number of slots awarded to them reduced.

#### **3.1.3 NUMBER OF FAMILIES TO BE SERVED**

Each area will have identified a designated number of families that can be served at any one time. This number will be equivalent to the number of slots that have been identified in Section 1.0 Project Overview. A vendor must have adequate staff as outlined as maximum caseload ratios to serve the number of families that can receive services at any point in time.

#### **3.1.4 REQUIRED STAFF AND THEIR QUALIFICATIONS**

**Supervisors** must possess a Master's degree in the field of social work, psychology, human and child development, counseling, or sociology from a college or university accredited by one of the six regional



**SECTION 3: SCOPE OF PROJECT**

accrediting associations of the United States with a minimum of 2 years successful full-time, paid supervisory experience in a social services setting (Experience in in-home work is preferred.) or a Bachelor's degree in social work, psychology, human and child development, counseling or sociology from a college or university accredited by one of the six regional accrediting associations and with a minimum of two (2) years successful full-time, paid supervisory experience in a social services setting, and who is supervised in-house by a supervisor who has a Master's degree in the field of social work, psychology, human and child development, counseling, or sociology from a college or university accredited by one of the six regional accrediting associations of the United States with a minimum of 2 years successful full-time, paid supervisory experience in social services setting and who will be enrolled in a Master's program within six (6) months of employment.

**Therapists** must possess a LCSW, LGSW, and/or LPC from a college or university accredited by one of the six regional accrediting associations of the United States with two (2) years of proven experience or a Master's degree in the field of social work, psychology, or counseling with five (5) years of proven experience in family and children's services.

**Family Support Workers** must possess a Bachelor's degree in the field of social work, psychology, human and child development, counseling or sociology from a college or university accredited by one of the six regional accrediting associations of the United States and a minimum of 1 year of associated experiences.

**3.1.5 SUPERVISOR/STAFF RATIO**

Various service delivery models have varying supervisor to worker ratios. If a vendor is following the strict guidelines of a model, those ratios must be maintained. As per the Department's Intensive In-home Services guidelines, a supervisor may supervise a maximum of 4 family support workers. Vendors must fully describe in their proposals what model will be used and to what extent, including very specific information concerning supervisor-to-worker ratios. Proposals must also delineate how supervision will be accomplished, both in case-specific and general work performance areas. Proposals should be very clear as to the credentials that will be required for supervisory and line staff.

**3.1.6 PROMPTNESS OF RESPONSE TO REFERRALS**

FOCUS staff are required to contact the family face-to-face within 24 hours (immediately if an emergency) from the time of the referral to conduct the initial assessment of family needs and strengths. If the FOCUS Specialist is unable to contact the family within 24 hours, the referral worker shall be notified. FOCUS staff and the referral worker will maintain contact at a frequency sufficient to address the circumstances and needs of the family. If the referral is not an emergency, the FOCUS provider should request an ISP prior to initiating services to gain a clear understanding of the desired outcomes expected by the Department.

**3.1.7 LOCATION OF SERVICE PROVISION**

Services will typically be provided in the family's home. Some services may be provided at other locations, but the majority of provider-family contact must be made in the home. The referring DHR worker must be notified if in-home contact becomes a barrier in delivering the services to the family.

**3.1.8 AVAILABILITY TO FAMILIES**

FOCUS staff must be able to work a flexible schedule determined by the needs of the family rather than a standard work schedule. Vendors must outline in their proposals the method that will be used to ensure that staff can meet this expectation. If FOCUS staff has other employment, the vendor must maintain a record of this in the staff person's file. Outside employment **must not interfere** with the staff person's ability to meet the 24-hour/7 day-per-week requirement of this RFP. Vendors must fully describe: how after-hour and emergency referrals/calls will be handled; and how case work will continue when staff is on leave.

### **3.1.9 LENGTH OF INTERVENTION**

The length of the intervention is determined by achievement of goals, stabilization of the crisis that prompted the referral, and the safety of the child(ren). Generally, it will be expected that an intervention will not exceed 3-4 months; however, if an extension is needed to fully stabilize the family to achieve permanency for the child(ren), SDHR may grant an extension at the county DHR office's request.

### **3.1.10 TREATMENT PLAN DEVELOPMENT**

At the time of the referral, the referral worker will identify the factors placing the child(ren) at risk of removal. During the first few days of the intervention, the FOCUS staff will also assess risk/safety factors and will develop a service plan with the family, which will be individualized to meet the needs of each specific family and is in conjunction with the family's Individualized Service Plan (ISP). The treatment plan will address the factors placing the child(ren) at risk of removal from the family, the family's and individuals' strengths, the goals of the intervention, and how progress toward the goals will be measured. All goals set forth in the vendor's treatment plan with the family must be linked to goals in the family's ISP.

### **3.1.11 EJECT/REJECT POLICIES**

It is expected that no more than 15% of appropriate referrals will be rejected by a vendor. Vendors must clearly define in their proposals what situations will constitute a rejection and what situations will cause a family to be ejected from the program.

### **3.1.12 QUALITY ASSURANCE**

Vendors must clearly outline the quality assurance program. Proposals must define what instruments will be used in evaluating the program, the frequency that the instruments will be used, and the way that data will be used in improving service delivery to achieve better outcomes for families. It is an expectation that at least 80% of the discharges from FOCUS programs will be successful, that is, a child returns to or remains with family, is placed with a relative or other significant person identified as a permanency goal for the child or is living independently in their own residence. Vendors must identify what measures of corrective action will be taken should their programs fall below this threshold.

### **3.1.13 AFTERCARE**

Each proposal should present clear, specific services that will be provided to children and families once they have been discharged from the program. These aftercare services should be described as to type, frequency and duration. Each proposal should also describe crisis intervention services that will be provided during a family's tenure in the program, as well as post-discharge. FOCUS Programs should provide no less than 90 days of aftercare.

### **3.1.14 TRACKING**

Each proposal must contain specific language on how a Vendor will track the children or youth who have received services through their program and how they plan to report to the Department the statistics received from the tracking. It will be required that all cases discharged, whether successful or unsuccessful, will be tracked twenty-four (24) months post-discharge. Reports must be provided to SDHR monthly or as often as requested by the Department.

### **3.1.15 TRAINING**

Vendors must provide the method that will be used in training staff to implement the requirements of this program. Proposals should describe how training needs will be connected to the model that will be used by the program.

## 3.2 CORE SERVICES

*Vendors must provide all of the services identified below. Services must be based on the needs identified in the ISP and ISP team decisions. Vendors must:*

- A. Schedule and coordinate the child's treatment plan: initial treatment plan within 10 days, comprehensive treatment plan within 30 days and reviews every 90 days. All treatment plans developed by the agency should be coordinated with the DHR county social worker and based upon the goals established in the child's Individualized Service Plan (ISP). The IIHS agency is required to obtain a copy of the Comprehensive Family Assessment/Intake Evaluation form and an ISP from the referring county DHR office. ***Copies of the intake evaluation or comprehensive family assessment, with adequate information for intake evaluation purposes, and an ISP must be provided to IIHS agencies within 10 days. DHR staff is required to complete and update regularly CFA's on all families referred for IIHS incorporating the information obtained by the IIHS agency into the document.***
- B. Include discharge planning from point of admission through point of discharge with emphasis on moving toward independent stability, safety and/or permanency as quickly as possible.
- C. Conduct two or more (as needed) in-home face to face contacts per week with the family to examine family relationships, roles and dynamics, and to assess how these issues impact family functioning including those contacts by a therapist or family support worker, based on needs as identified by the ISP/ISP team.
- D. Provide face-to-face or telephone contact with school, therapists or other providers, once per month or more as needed, to monitor the child and family's progress.
- E. Assist in the referral to other programs/services, advocate for the child and family by accompanying them to appointments as identified in the family's ISP including the coordination of transportation, family visits and activities.
- F. Provide education and support to enhance the child and family's ability to function independently by assisting the family with locating and appropriately utilizing community resources, services and activities (e.g., housing, food, clothes, shelter, transportation, etc.)
- G. Provide family support with birth family, supervise family visitation as outlined in the ISP/Treatment Plan. Support must include the provision of services to assist the child's family members in understanding the nature of the child and how to help the child be maintained in the community by providing education about the child's illness, expected symptoms, medication management, parenting support, therapeutic visitation support educational advocacy and to encourage school success, as identified in the family's ISP.
- H. Attend ISP's, IEPs, court hearings and other appointments along with the child and family to assure coordination of services. Assist the family/child in getting to meetings or appointments when necessary.
- I. Provide progress/summary report to the referring DHR worker on a monthly basis and prior to any Family Court hearing. Reports must document progress and making recommendations based on current level of functioning.
- J. Assist in creating a behavior management plan for the child with the other members of the ISP team. All IIHS agencies must maintain staff that has expertise in the development of such plans. **(DHR shall**

**assume the responsibility of completing behavioral management plans on all children that require them.)**

- K. Participate in the development of the Safety Plan as needed.
- L. Provide crisis intervention services on a 24 hours/7days a week basis, as needed, to alleviate a crisis for the child or to assist the family in alleviating a crisis for the child.
- M. Provide weekly consultation with DHR and an immediate response in the event health or safety issues poses a threat to the child.

### **3.3 ROLES OF DHR AND IIHS**

*As it relates to roles, ultimately, DHR is the case manager for the case.*

#### **3.3.1 DHR ROLES**

- A. DHR will be responsible for coordinating and facilitating the ISP and distribution of the ISP document within ten (10) working days.
- B. DHR will work with the IIHS agency on the development of the treatment plan and a regular review of the plan.
- C. DHR will be responsible for assuring that all services to be provided are included in the ISP including core services that are appropriate for the case. DHR is also responsible for assuring that all pertinent team members attend the ISP including the IIHS staff.
- D. The DHR worker will confirm with the family the acceptance of the services deemed necessary for the family. The DHR worker will contact the family to schedule a face to face in-home initial visit and introduction of the IIHS staff to the family within 48 hours (or sooner if needed) of admission. The initial visit must occur as soon as possible but must not exceed 4 working days from the date of admission. During the initial visit responsibilities and roles will be discussed.
- E. DHR staff will complete the intake evaluation prior to referral and will share this and other pertinent information with the IIHS agency.
- F. DHR will responsible for assuring that the IIHS agency has a copy of the ISP if one already exists and is responsible for assuring that the IIHS agency participates in the ISP. DHR will ensure that IIHS agencies receive an ISP within 10 days of the ISP meeting.
- G. DHR staff will be required to make monthly face-to-face contact with each child and family.
- H. DHR will participate in conferences with the school which should include the parents and the IIHS worker, particularly when problems have been identified that need resolution.
- I. DHR will be responsible for assuring that reports from the IIHS agency are received in a timely manner. If problems arise which result in reports being delayed, DHR should assure that the weekly consultations with the IIHS agency are held.
- J. The DHR worker will also review the reports to determine that adequate progress is being made by the family and to assure that the appropriate supports are in place.

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- K. DHR will review the therapist's reports and will schedule an ISP if there are significant requirements for a child/family that are not being addressed through the in-home services. DHR should also participate in the counseling sessions as the need arises.
- L. The DHR worker will assist in the coordination of services to address the needs of the family.
- M. DHR will work with the IIHS agency to develop crisis plans and safety plans that are deemed necessary to support the family and ensure safety for children.
- N. DHR will utilize its QA component as it relates to the local QA committee and case review process.
- O. DHR will assist the IIHS agency in gaining access to the policies that direct the work of the agency.

**3.3.2 ROLES OF IIHS WORKERS**

- A. The IIHS worker is responsible for completion of all assigned tasks in the ISP.
- B. The IIHS worker must actively participant in the ISP.
- C. The IIHS worker/staff is responsible for meeting the requirements listed in the core services, including by not limited to maintaining a no-reject/no-eject policy for families who meet the program criteria.
- D. The IIHS worker is responsible for preparing monthly comprehensive reports that are current, accurate, meaningful, behaviorally specific and describe barriers/outcomes.
- E. The IIHS agency is responsible for recruiting candidates for the various positions that are part of the contract and for coordinating with DHR on the suitability of the various candidates.
- F. After the family has agreed to the service intervention, the IIHS agency will accompany the DHR worker to the home at the point of first introduction to the family and will participate in a discussion of the plan for the family
- G. The IIHS agency will receive and review the intake evaluation and depending on the other information available from DHR may coordinate the pulling together of information to complete the CFA.
- H. IIHS staff is required to be available to the families 24 hours per day 7 days per week and should be available to provide crisis intervention as needed.
- I. The IIHS staff members are required to have contact with the schools to monitor the child's progress and to make reports on progress to DHR once per month. Any contacts should include involving the parents in the discussions.
- J. The IIHS staff can call an ISP if one is deemed necessary but has not been scheduled.
- K. The IIHS staff will conduct two or more (as needed) in-home face to face contacts per week with the family to examine family relationships, roles and dynamics, and to assess how these issues impact family functioning including those contacts by a therapist or family support worker, based on needs as identified by the ISP/ISP team.
- L. The IIHS staff will assist in making referrals to other programs/services to address the needs identified for the child/family and will monitor those services to ensure that they are meeting identified needs.

**SECTION 3: SCOPE OF PROJECT**

- M. The IIHS staff will work with the family to arrange for community and family supports that will support independence of the family from agency involvement.
- N. The IIHS staff will schedule and coordinate the family treatment plan as per the information in the core services up to and including discharge from the program.
- O. The IIHS staff members are responsible for working with the local DHR office and SDHR to resolve any concerns that are identified.
- P. While DHR has the responsibility for developing a behavior management plan for children needing them, the IIHS agency must assist in the development and monitoring of this plan with all participants.
- Q. IIHS agency will work with DHR to develop crisis plans and safety plans that are deemed necessary to support the family and assure safety for children.
- R. The IIHS agency will conduct QA activities, including outcome measures for the services/programs being providing and will share this information with DHR. Outcome measures will be administered every 90 days.
- S. The IIHS agency will be familiar with pertinent DHR policies related to the service provision, planning with families.

## **SECTION 4: PROPOSAL FORMAT AND INSTRUCTIONS**

### **4.0 PROPOSAL REQUIREMENTS**

Proposals must meet all requirements as specified in this RFP. Proposals must incorporate the specified structure and format; must be clear, detailed, and complete as to fully demonstrate that the prospective Vendor has a thorough understanding of the requirements for providing the services for this procurement. Statements that the Vendor understands, acknowledges, or can comply with the requirements/specifications and statements paraphrasing the specifications are considered inadequate as are phrases such as “industry standards will be adhered to” and/or “standard procedures will be implemented”, or “research-based models will be used”. Proposals must clearly and adequately describe the concepts and methodologies to be implemented by the Vendor. Information must be clear, succinct, and easily understandable.

### **4.1 COMPLETENESS OF PROPOSALS**

Selection(s) and award(s) will be based on the Vendor’s proposal and other items described in this RFP. Proposals should not include references to information located elsewhere, such as Internet websites. Information or materials presented by Vendors outside the formal response or subsequent discussion/negotiation or “best and final offer,” if requested, will not be considered, will have no bearing on any award, and may result in the Vendor being disqualified from further consideration.

### **4.2 PROPOSAL FORMAT**

Proposals must be single-spaced, incorporating 1-inch margins, typed using Times New Roman (font), size 12 and printed/copied onto one side of standard (8½ x 11) white typing/copier paper. *Paragraphs must be double-spaced.* All proposals must include labeled tabs that correspond with the bolded sections and subsections to which the information pertains. ***Do not use tabs with the paper inserts.*** Vendors should avoid the use of elaborate presentations and binding materials beyond that sufficient to present complete and effective proposals.

#### **4.2.1 COVER SHEET**

The first page of each proposal must be the completed **Cover Sheet** (RFP cover sheet) with an original ink signature of the person(s) legally authorized to bind the vendor to the proposal. **Proposals without signatures of persons legally authorized to bind the vendor to the proposal will be rejected.** The cover sheet must also include the name of the contact person and contact information of the person authorized to act on behalf of the vendor (do not number this page). Vendors must also provide their Federal Employer Identification Number. The vendor must denote the original proposal and copies by placing a check in the appropriate box on the cover sheet.

#### **4.2.2 TABLE OF CONTENTS**

The Cover Sheet should be followed by the **“Table of Contents”**, which should list all sections, subsections and page numbers.

#### **4.2.3 LEGAL STATUS FORM/TAXPAYER IDENTIFICATION NUMBER**

The Table of Contents must be followed by a copy of the **Legal Status Form**. *This form is issued by the IRS and denotes an organization’s legal status (i.e., non-profit, for-profit, corporation, etc.) and includes the Federal Employee Identification Number (FEIN).* If the Legal Status Form is not available, a completed and signed copy of the **“Request for Taxpayer Identification Number”** form (*Appendix B*) must be included. All items on this form must be completed. (Do not number this page).

#### **4.2.4 LICENSES/CERTIFICATES/CREDENTIALS**

The Request for Taxpayer Identification Number form should be followed by a copy of all required **Licenses, Certificates, and/or Credentials** or a copy of a completed license application form submitted by the deadline specified in this RFP.

#### **4.2.5 TECHNICAL PROPOSAL**

Copies of Licenses/Certificates/Credentials should be followed by the **Technical Proposal**. Numbering of the proposal pages should begin with page 1 of the Technical Proposal. Page numbers should be placed in the left corner of the bottom margin. The Technical Proposal **must not exceed fifty (50) pages**, and must prescribe to sections **4.2.5.1** through **4.2.5.4.6** below:

##### **4.2.5.1 VENDOR QUALIFYING INFORMATION**

###### **4.2.5.1.1 *Vendor Profile and Experience***

The Vendor must specify how long it has been in the business of providing services similar to those requested in this RFP and under what company name. The Vendor must list all names it has used when conducting business. The Vendor must explain their expertise or history in the provision of such services or identify a nationally recognized model that has proven to be successful that will be used in the provision of services under this RFP. The Vendor must provide an organizational profile including: number of employees, and form of business (e.g. individual, sole proprietor, corporation, non-profit corporation, limited liability company.).

###### **4.2.5.1.2 *References***

The proposing Vendor must provide a minimum of three (3) references for which it has performed similar services. These references may be contacted to verify Vendor's ability to perform the contract. The Department reserves the right to use any information or additional references deemed necessary to establish the ability of the Vendor to perform the conditions of the contract. Negative references may be grounds for proposal disqualification.

For each reference, the Vendor must provide: company/agency name of the reference; location where the services were performed (city, state); primary and secondary contact name, title, telephone number, and e-mail address; a brief description of the project; description of the Vendor's role in the project; and the start and end date of each project.

###### **4.2.5.1.3 *Past and Present Contractual Relationships with the Department***

The Vendor shall describe any past or present contractual relationship it may have or have had with the Department or any other state agency including colleges/universities during the past three years. If the Vendor, its predecessor, or any party named in the Vendor's responses to this Section has contracted with any department within the State Government during the past three years, identify the contract number and/or other information available to identify such contract(s). If no such contracts exist, so declare. If any party named in the Vendor's response to this RFP was an employee of the State in the past two years, identify the individual(s) by name, state agency by which employed, job title of position held with the State, and separation date. If no such relationship exists, so declare.

###### **4.2.5.1.4 *Contract Performance***

If the Vendor, or any proposed Subcontractor, has had a contract terminated for default during the past five years, all such instances must be described as discussed below. Termination for default is defined as notice to stop performance delivery due to the Vendor's nonperformance or poor performance and the issue was either (a) not litigated due to inaction on the part of the Vendor; or (b) litigated and such litigation determined the Vendor to be in default. Submit full details of all terminations for default experienced by the Vendor during the past five years, including the other party's name, address, and telephone number. Present the Vendor's position on the matter. The Department shall evaluate the facts and may, at its sole discretion, reject the Vendor's



Proposal if the facts discovered indicate that completion of a contract resulting from this RFP may be jeopardized by selection of the Vendor. If the Vendor has experienced no such terminations for default in the past five years, so declare. If at any time during the past five years, the Vendor has had a contract terminated for convenience, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract provisions, describe fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination. If no such early terminations have occurred, so declare.

Failure to report on the foregoing or if the information furnished is determined to be inaccurate, whether by omission or commission, shall result in rejection of the Vendor's Proposal.

***Note: No points will be assigned to proposals submitted by new or current vendors who have performed their contractual obligations satisfactorily. However, current vendors who have performed unsatisfactorily may experience point deductions up to a maximum of 10 points.***

#### **4.2.5.1.5 Project Staff/Resumes/Job Descriptions**

The Vendor must submit a resume or job description detailing the level of education, experience, training, skills, etc. which emphasizes previous experience in the service area as described in this RFP for all key personnel who will be involved with the proposed project. The Vendor should indicate that it has sufficient staff to perform the services required in this RFP, if sufficient staff is not currently available, describe how staff will be obtained to provide the services and the timeline for obtaining the needed staff. Indicate the number of anticipated staff for each position title. List all professional licenses held by the vendor.

#### **4.2.5.1.6 Staff Performance Evaluations and Training**

Vendors must describe its staff development program regarding orientation, on-going staff evaluation and training that will be implemented throughout the contract period to ensure delivery of effective services that adhere to the Department's required performance standards.

#### **4.2.5.1.7 Background Checks**

Describe in detail the steps that the Vendor will take to ensure that all staff, regardless of level, have not been the subject of any incident or investigation which would call into question the propriety of that employee's working with this population of children. Provide documentation that each employee has had a criminal background check. Describe your organization's general procedure for addressing occurrences when an incident or allegation is reported, founded or unfounded.

#### **4.2.5.2 VENDOR FINANCIAL STABILITY**

Vendors must submit an audited financial statement for the past year and letters from the auditor(s) who performed the previous two (2) financial audits immediately preceding the issuance of this RFP. Vendors of newly formed organizations, who have been in business less than one year must submit copies of any quarterly financial statements that have been prepared since the end of the period reported by your most recent annual report.

#### **4.2.5.3 METHOD OF PROVIDING SERVICES**

##### **4.2.5.3.1 Service Delivery Approach**

The Vendor must provide a detailed description of the work plan and the methods to be used that will convincingly demonstrate to the Department what the Vendor intends to do, the number of children/youth and/or families to be served, the timeframes necessary to accomplish the work, and how the work will be accomplished. The Vendor must identify the county/region to be served by the proposed project. *All requirements in Section 3: Scope of Project must be addressed in the Service Delivery Approach.*

#### **4.2.5.3.2      *Start-up Plan***

The Vendor must include a detailed project schedule that is comprised of the detailed work plan for the entire project. This section should also include any proposed additions to the tasks outlined in the *Section 3: Scope of Work*.

#### **4.2.5.3.3      *Assessment of Benefits and Impact***

Describe the process that Vendor will use to assess the proposed services to determine if the expected benefits and their impact have occurred. Include on-going plans to continuously assess and modify services to better meet the needs of the target population. The assessment methodology should provide the Department with meaningful indicators that funded projects are making satisfactory progress toward desired goals.

#### **4.2.5.3.4      *Office Location***

The Vendor must provide the physical address of the Vendor's office that will be responsible for maintaining records and performing services under a contract with the Department in the event the Vendor becomes the Contractor.

### **4.2.5.4 VENDOR CERTIFICATIONS**

Vendors must submit a statement attesting that they warrant and represent to the Department that the vendor accepts and agrees with all certifications and terms and conditions of this RFP. Further, by submitting a response to this RFP, the vendor certifies to the Department that they are legally authorized to conduct business within the State of Alabama and to carry out the services described in this document.

#### **4.2.5.4.1      *Revolving Door Policy***

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees is a current employee of the Department, and none of the said individuals have been employees of the Department in violation of the revolving door prohibitions contained in the state of Alabama ethics laws.

#### **4.2.5.4.2      *Debarment***

Vendors must attest that neither the vendor nor any of the vendor's trustees, officers, directors, agents, servants or employees (whether paid or voluntary) is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension."

#### **4.2.5.4.3      *Standard Contract***

The vendor must agree to the use of the Department's standard contract document. The vendor will further comply with all the terms and conditions of that document, including, but not limited to, compliance with the Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act, Alabama Act No. 2000-775 (governing individuals in direct service positions who have unsupervised access to children), the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as applicable, and all other federal and state laws, rules and regulations applicable to receiving funds from the Department to carry out the services described in this RFP. Further, any contract executed pursuant to the RFP must be subject to review by the Department's legal counsel as to its legality of form and compliance with State contract laws, terms and conditions, and may further be subject to review by the Alabama Legislative Contract Review Committee, Examiners of Public Accounts, the State Finance Director and the Office of the Governor.

#### **4.2.5.4.4      *Charitable Choice (applies to faith-based organizations only)***

The vendor must attest that funds received as a result of this procurement will not be used for sectarian instruction, worship, proselytizing or for any other purely religious activities that are not directed toward the secular social goals related to the services described in this RFP. The vendor must agree to serve all eligible members of the public without regard to their religious beliefs and, further, must not require clients' active participation in any religious practice. (In carrying out the said services, the vendor will remain independent from federal, state and local governments; will retain control over the expression of its religious beliefs, and is

NOT required to remove its religious writings or symbols or to alter its internal governance as a condition of doing business with the Department.)

#### **4.2.5.4.5 Financial Accounting**

Vendors must agree that the vendor's accounting system will be consistent with General Accepted Governmental Accounting Principles (GAAP). The vendor must maintain sufficient financial accounting records documenting all funding sources and applicable expenditure of all funds from all sources.

#### **4.2.5.4.6 Vendor Work Product**

The Vendor must attest that the proposal submitted in response to this document is the work product of said vendor. If the proposal is determined not to be the work product of the vendor, the proposal may, at the Department's sole discretion, be rejected.

#### **4.2.5.5 ATTACHMENTS**

Vendors must include all applicable forms identified below as attachments (i.e., Attachment A, B, C, etc), applicable forms must follow the Technical Proposal.

##### **4.2.5.5.1 Disclosure Statement**

The Technical Proposal must be followed by a completed copy of the **Disclosure Statement**.

##### **4.2.5.5.2 Trade Secret Affidavit**

The Disclosure Statement must be followed by a completed copy of the **Trade Secret Affidavit** (*Appendix D*), if applicable.

##### **4.2.5.5.3 Immigration Status Form**

The Trade Secret Affidavit must be followed by a completed copy of the **Immigration Status Form**. *All proposals must include the Immigration Status Form.*

## SECTION 5: COST PROPOSAL

### 5.0 BUDGET

Vendors will be compensated for all eligible expenditures resulting from a contract for the services described in this procurement at a fixed rate of no more than **\$1,520** per month for a family. Vendors must include a budget and budget narrative using the forms in Appendix E. Complete budgets according to the instructions provided for the period beginning October 01, 2008 and ending September 30, 2009.

A **state/local match equaling 25% of the combined federal and state/local funding** is required to secure the federal funds. Cash, goods, or services, including third party in-kind contributions, are allowable sources of match. Please identify any local matching funds your agency can make available or has secured for this project.

Fiscal Year 2009 will be year one of a new federal funding cycle. Reauthorization of the federal funding used for this project occurs periodically, and contracting entities should be aware that continuation of the FOCUS Program beyond the availability of federal funds may be dependent upon alternate sources of funding which have been secured by that time. It would be advisable for contracting entities to begin work toward securing alternative funding sources as soon as possible.

The target date for executing the contract is October 01, 2008. Contracts will be for a two-year period; however, budgets will be completed annually with funding adjustments made at that time. Funding may be reduced or the contract terminated at any time within the two-year contract period, upon thirty (30) days written notice.

## SECTION 6: EVALUATION CRITERIA

### 6.0 EVALUATION CRITERIA

The evaluation committee will review and evaluate the proposals according to the following criteria based on a **maximum possible value of 1,000 points**. Proposals failing to meet the requirements of this RFP may be deemed non-responsive or subject to point deductions. The point value assigned to each component of the **Technical Proposal and Cost Proposal** will be based on the following scoring scale:

Category	RFP Section	Point Value
<b>Vendor Qualifying Information</b>		<b>30% of points for a possible 300 points</b>
A. Vendor Profile and Experience	4.2.5.1.1	225
B. References	4.2.5.1.2	0
C. Past and Present Contractual Relationships with the Department	4.2.5.3.5	0
D. Contract Performance	4.2.5.3.6	<i>To be determined</i>
E. Project Staff/Resumes/Job Descriptions	4.2.5.1.3	25
F. Staff Performance Evaluations and Training	4.2.5.1.4	25
G. Background Checks	4.2.5.1.5	15
H. Vendor Financial Stability	4.2.5.2	10
<b>Method of Providing Services</b>		<b>60% of points for a possible 600 points</b>
A. Service Delivery Approach	4.2.5.3.1	450
B. Start-up Plan	4.2.5.3.2	75
C. Assessment of Benefits and Impact	4.2.5.3.3	75
D. Office Location	4.2.5.3.4	0
E. Vendor Certifications	4.2.5.4.	0
<b>Cost Proposal</b>		<b>10% of points for a possible 100 points</b>
A. Cost Proposal	5.0	100

## **APPENDIX A: STANDARD TERMS AND CONDITIONS**

**By submitting a response to request for proposal or acceptance of a contract, the vendor agrees to acceptance of the following Standard Terms and Conditions and any other provisions that are specific to this solicitation or contract.**

**ACCEPTANCE/REJECTION OF PROPOSALS:** The Department reserves the right to accept or reject any or all proposals, wholly or in part, and to make awards in any manner deemed in the best interest of the Department. Proposals will be firm for 180 days, unless stated otherwise in the text of the request for proposal.

**ACCESS AND RETENTION OF RECORDS:** The contractor agrees to provide the Department, Legislative Auditor, or authorized agents, access to any records necessary to determine contract compliance. The contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of three years after either the completion date of the contract or the conclusion of any claim, litigation, or exception relating to the contract taken by the Department or third party.

**ALTERATION OF SOLICITATION DOCUMENT:** In the event of inconsistencies or contradictions between language contained in the Department's solicitation document and a vendor's response, the language contained in the Department's original solicitation document will prevail. Intentional manipulation and/or alteration of solicitation document language will result in the vendor's disqualification and possible debarment.

**ASSIGNMENT, TRANSFER AND SUBCONTRACTING:** The contractor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the Department.

**AUTHORITY:** The following request for proposal, limited solicitation, or contract is issued under authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3<sup>rd</sup> Sp. Sess., p 817, §1.)

**CHARGE BACKS:** The Alabama Department of Human Resources and Medicaid will deduct federal charge backs from future payments.

**COMPLIANCE WITH LAWS:** The contractor must, in performance of work under the contract, fully comply with all applicable federal, department, or local laws, rules and regulations, including the Civil Rights Act of 1964, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Any subletting or subcontracting by the contractor subjects subcontractors to the same provision. The contractor agrees that the hiring of persons to perform the contract will be made on the basis of merit and qualifications and there will be no discrimination based upon race, color, religion, creed, political ideas, sex, age, marital status, physical or mental disability, or national origin by the persons performing the contract.

**DEBARMENT:** The contractor certifies, by submitting this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the contractor cannot certify this statement, attach a written explanation for review by the Department.

**DISABILITY ACCOMMODATIONS:** The Department does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services, or activities. Individuals, who need aids, alternative document formats, or services for effective communications or other disability-related accommodations in the programs and services offered, are invited to make their needs and preferences known to this office. Interested parties should provide as much advance notice as possible.

**FACSIMILE RESPONSES:** Facsimile responses will not be accepted for requested for proposals or limited solicitations.

**FAILURE TO HONOR PROPOSAL:** If a vendor to whom a contract is awarded refuses to accept the award (contract) or, fails to deliver in accordance with the contract terms and conditions, the Department may, in its discretion, suspend the vendor for a period of time from entering into any contracts with the Department.

**FORCE MAJEURE:** Neither party shall be responsible for failure to fulfill its obligations due to causes beyond its reasonable control, including without limitation, acts or omissions of government or military authority, acts of God, materials shortages, transportation delays, fires, floods, labor disturbances, riots, wars, terrorist acts, or any other causes, directly or indirectly beyond the reasonable control of the non-performing party, so long as such party is using its best efforts to remedy such failure or delays.

**HOLD HARMLESS/INDEMNIFICATION:** The contractor agrees to hold the Department, its elected and appointed officials, agents, and employees, while acting within the scope of their duties as such, harmless from and against all claims, demands, causes of action of any kind or character, including the cost of defense thereof, arising in favor of the contractor's employees or third parties on account of bodily or personal injuries, death, or damage to property arising out of services performed or omissions of services or in any way resulting from the acts or omissions of the contractor and/or its agents, employees, representatives, assigns, subcontractors, except for acts of omission resulting from the sole negligence of the Department, under this agreement.

**LATE PROPOSALS:** Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely the vendor's risk to assure delivery at the designated office by the designated time. Late proposals will not be opened and may be returned to the vendor at the expense of the vendor or destroyed if requested.

**REGISTRATION WITH THE PURCHASING DIVISION:** Any business intending to transact business in Alabama must register with the Alabama Purchasing Division by completing the Vendor Disclosure Statement. A copy of the Vendor Disclosure Statement can be downloaded from the Purchasing website at [www.purchasing.alabama.gov](http://www.purchasing.alabama.gov).

**SEVERABILITY CLAUSE:** A declaration by any court, or any other binding legal source, that any provision of the contract is illegal and void shall not affect the legality and enforceability of any other provision of the contract, unless the provisions are mutually dependent.

**SOLICITATION DOCUMENT EXAMINATION:** Vendors must promptly notify the Department of any ambiguity, inconsistency, or error, which they may discover upon examination of a solicitation document.

**TERMINATION OF CONTRACT:** Unless otherwise stated, the Department may, by written notice to the contractor, terminate the contract in whole or in part at any time the contractor fails to perform the contract.

**UNAVAILABILITY OF FUNDING:** The Department, at its sole discretion, may terminate or reduce the scope of the contract if available funding is reduced for any reason.

**U.S. FUNDS:** All prices and payments must be in U.S. dollars.

**STATE OF ALABAMA**  
**REQUEST FOR TAXPAYER IDENTIFICATION NUMBER**  
**STATE COMPTROLLER'S OFFICE**

1. In PART 1 below provide your Tax Identification Number and check FEIN or SSN. Also provide the name and address to which payments should be sent. In addition, provide the name of the legal signatory authority for your organization (the individual authorized in your Constitution and/or By-laws to legally obligate the organization, for example, sign a contract on behalf of the organization).
2. Circle the business designation that identifies your type of trade or business in PART 2.
3. Sign and return this form as part of the response to the RFP:

## NAME &amp; TITLE OF LEGAL SIGNATORY AUTHORITY: \_\_\_\_\_

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## **APPENDIX C: TRADE SECRET AFFIDAVIT**

### **Alabama Department of Human Resources**

#### **AFFIDAVIT FOR TRADE SECRET CONFIDENTIALITY**

DEPARTMENT OF \_\_\_\_\_)

)ss.

County of \_\_\_\_\_)

\_\_\_\_\_ (Affiant), being first duly sworn under oath, and representing  
\_\_\_\_\_ (hereafter "Vendor"), hereby deposes and says that:

1. I am an attorney licensed to practice in the State of \_\_\_\_\_, representing the Vendor referenced in this matter, and have full authority from the Vendor to submit this affidavit and accept the responsibilities stated herein.

2. I am aware that the Vendor is submitting a proposal to the Alabama Department of Human Resources for RFP # \_\_\_\_\_. Public agencies in Alabama are required by Alabama law to permit the public to examine documents that are kept or maintained by the public agencies, other than those legitimately meeting the provisions of the Alabama Trade Secrets Act, Alabama Code Section 8-27-1, and that the Department is required to review claims of trade secret confidentiality.

3. I have read and am familiar with the provisions of the Alabama Trade Secrets Act, am familiar with the case law interpreting it, and understand that all information received in response to this RFP will be available for public examination except for:

- (a) trade secrets meeting the requirements of the Act; and
  - (b) information requested by the Department to establish vendor responsibility
- unless prior written consent has been given by the vendor.

4. I am aware that in order for the Vendor to claim confidential material, this affidavit must be fully completed and submitted to the Department, and the following conditions must be met by the Vendor:

- (a) information to be withheld under a claim of confidentiality must be clearly marked and separated from the rest of the proposal;
- (b) the proposal may not contain trade secret matter in the cost or price; and
- (c) the Vendor's explanation of the validity of this trade secret claim is attached to this affidavit.

5. I and the Vendor accept that, should the Department determine that the explanation is incomplete, inadequate or invalid, the submitted materials will be treated as any other document in the department's possession, insofar as its examination as a public record is concerned. I and the Vendor are

**APPENDIX C: TRADE SECRET AFFIDAVIT**

solely responsible for the adequacy and sufficiency of the explanation. Once a proposal is opened, its contents cannot be returned to the Vendor if the Vendor disagrees with the Department's determination of the issue of trade secret confidentiality.

6. I, on behalf of the Vendor, warrant that the Vendor will be solely responsible for all legal costs and fees associated with any defense by the Department of the Vendor's claim for trade secret protection in the event of an open records request from another party which the Vendor chooses to oppose. The Vendor will either totally assume all responsibility for the opposition of the request, and all liability and costs of any such defense, thereby defending, protecting, indemnifying and saving harmless the Department, or the Vendor will immediately withdraw its opposition to the open records request and permit the Department to release the documents for examination. The Department will inform the Vendor in writing of any open records request that is made, and the Vendor will have five working days from receipt of the notice to notify the Department in writing whether the Vendor opposes the request or not. Failure to provide that notice in writing will waive the claim of trade secret confidentiality, and allow the Department to treat the documents as a public record.

Documents that, in the opinion of the Department, do not meet all the requirements of the above will be available for public inspection, including any copyrighted materials.

\_\_\_\_\_  
Affiant's Signature

Signed and sworn to before me on \_\_\_\_\_ (date) by \_\_\_\_\_  
\_\_\_\_\_. (Affiant's name).

Name of Notary Public: \_\_\_\_\_ for the

Department of: \_\_\_\_\_

My Commission Expires: \_\_\_\_\_

*Place seal here.*

<b>APPENDIX D: IMMIGRATION STATUS FORM</b>
--

I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

\_\_\_\_\_  
Signature of Contractor

\_\_\_\_\_  
Witness

## APPENDIX E: COST REIMBURSEMENT BUDGET FORM

<b>COST REIMBURSEMENT BUDGET FORMS</b>					
<b>Contract Number:</b>				<b>Taxpayer ID#:</b>	
<b>Agency:</b>					
<b>Address:</b>					
<b>Project Title:</b>					
<b>Budget Period:</b>		<b>to</b>		<b>Fiscal Year:</b>	
<b>BUDGET ITEMS</b>				<b>TOTAL COST</b>	
<b>1. PERSONNEL</b>					
<b>2. SUBCONTRACTS</b>					
<b>3. TRAVEL</b>					
<b>4. SPACE</b>					
<b>5. SUPPLIES</b>					
<b>6. EQUIPMENT</b>					
<b>7. OTHER</b>					
<b>8. TOTAL PROJECT FUNDING</b> <i>(sum lines 1 through 7)</i>					
<b>9. Local Share</b> <i>(Itemize the sources and amounts under COMMENTS below)</i>					
<b>10. Other Federal Share</b> <i>(Itemize the sources and amounts under COMMENTS below)</i>					
<b>11. MAXIMUM DHR SHARE</b> <i>(line 8 minus lines 9 and 10)</i>				<b>&gt;&gt;&gt;&gt;&gt;&gt;&gt;&gt;</b>	
<b>12. PERCENT DHR SHARE OF TOTAL PROJECT FUNDING</b> <i>(Line 11 divided by line 8)</i>					
<b>COMMENTS</b> <i>(In addition to itemizing the sources and amounts of local and other non-DHR funding, include, as applicable, a brief description of the nature of each income-generating activity planned):</i>					
<b>NOTE: ON THE FOLLOWING PAGES, DESIGNATE CLEARLY ALL BUDGET LINE ITEMS THAT REPRESENT COSTS IN WHICH DHR WILL NOT PARTICIPATE IN WHOLE OR IN PART, I.E., IN-KIND COSTS, UNALLOWABLE COSTS, ETC. ALL COSTS FOR THE LINE ITEMS SO DESIGNATED MUST BE PAID IN FULL WITH NON-DHR FUNDS.</b>					

<b>DHR USE ONLY</b>					
<b>Approved for Mathematical Accuracy:</b>					
<b>Assistance Payments, Finance Division</b>				<b>Date:</b>	
<b>Contract Number:</b>				<b>Fiscal Year:</b>	
<b>1. PERSONNEL: Group those Position Descriptions having identical salary details.</b>					
<b>A. Number of Persons</b> <i>(annotate if position is currently vacant)</i>	<b>B. Position Description</b>	<b>C. Gross Salary Per Pay Period</b>	<b>D. % Time on Project</b>	<b>E. Pay Periods to be Employed</b>	<b>F. Total Cost (AxCxDxE)</b>
<b>Subtotal Salaries:</b>					
<b>FRINGE BENEFITS:</b>					
<b>FICA</b>					
<b>Workman's Compensation</b>					
<b>Health Insurance</b>					
<b>Other (specify)</b>					
<b>Subtotal Fringe Benefits:</b>					
<b>TOTAL PERSONNEL:</b>					
<b>2. SUBCONTRACTS: Itemize each actual/proposed subcontract. All subcontracts require the Department's prior written approval.</b>					
<b>TOTAL SUBCONTRACTS:</b>					

<b>Contract Number:</b>		<b>Fiscal Year:</b>	
<b>3. TRAVEL:</b> <i>All out-of-state travel requires the Department's prior written approval.</i>			
<b>In-state</b>			
<b>Out-of-state</b>			
<b>TOTAL TRAVEL:</b>			
<b>4. SPACE:</b> <i>All repairs to facilities, regardless of the cost, require the Department's prior written approval.</i>			
<b>Telephone</b>			
<b>Rent/Lease</b>			
<b>Use Allowance</b> <i>(requires an FM-05 "USE ALLOWANCE – SPACE" form)</i>			
<b>Utilities</b>			
<b>Upkeep</b> <i>(buildings/grounds)</i>			
<b>Other</b> <i>(specify)</i>			
<b>TOTAL SPACE:</b>			
<b>5. SUPPLIES:</b> <i>Competitive bids may apply.</i>			
<b>Office Supplies</b>			
<b>Custodial Supplies</b>			
<b>Other</b> <i>(itemize and be specific -- attach a separate listing if needed)</i>			
<b>TOTAL SUPPLIES:</b>			
<b>6. EQUIPMENT:</b> <i>Itemize (attach a separate listing if needed).</i>			
<b>Rental/Lease</b>			
<b>Use Allowance</b> <i>(requires FM-06 "USE ALLOWANCE – EQUIPMENT" form)</i>			
<b>Depreciation</b> <i>(supporting documentation required -- see instructions)</i>			
<b>Repairs</b>			
<b>Other</b> <i>(specify)</i>			
<b>TOTAL EQUIPMENT:</b>			
<b>7. OTHER</b>			
<b>Liability Insurance</b>			
<b>Vehicle Maintenance, such as gas, oil, etc.</b>			

<b>Printing</b>					
<b>Indirect Cost</b> ( <i>rate must be approved by the Department</i> )					
<b>Other</b> ( <i>specify</i> )					
<b>TOTAL OTHER:</b>					

## APPENDIX F: INSTRUCTIONS FOR COST REIMBURSEMENT BUDGET

Each line item in the budget must reflect the **total planned combined project cost** for that line item. Page 1 represents a summary of the totals from the remaining pages. All departmental funds are subject to the constraints set forth in the contract, the Contract Compliance Requirements document, all other departmental directives and the instructions set forth herein.

**Approval of the budget does not constitute approval to actually incur any expenditure designated as requiring Department's prior written approval.** For the budget items so designated, the Department's prior written approval must be obtained before the expense is actually incurred.

### **PAGE 1**

**Contract Number:** *To be assigned by DHR.*

**Taxpayer ID:** *Self-explanatory.*

**Agency:** *Self-explanatory.*

**Address:** *Self-explanatory.*

**Project Title:** *Self Explanatory.*

**Budget Period:** *The period during which the budget will be in effect, normally the fiscal year, October 1 through September 30, unless otherwise advised by the Department.*

*Include the totals for the seven budget sections from pages 2-3. In addition, include the following additional items:*

8. **TOTAL PROJECT FUNDING:** Enter the sum of lines 1-7. This should reflect the total amount of funds from all funding sources to be used to fund the project.
9. **LOCAL SHARE:** Enter the total amount of local funds from all non-federal sources (including in-kind contributions) to be used, in whole or in part, to fund the project. Itemize the sources and amounts under the Comments section.
10. **OTHER FEDERAL SHARE:** Enter the total amount of federal funds received from sources other than DHR to be used, in whole or in part, to fund the project. Itemize the sources and amounts under the Comments section.
11. **MAXIMUM DHR SHARE:** Subtract lines 9 (Local Share) and 10 (Other Federal Share) from line 8 to reflect the maximum DHR share of the total budgeted project funding.
12. **PERCENT DHR SHARE:** Enter the DHR share as a percent of the total project funding by dividing line 11 by line 8.

**COMMENTS:** Itemize, as applicable, the sources and amounts of all funds represented in lines 9 and 10 above. In addition, include, as applicable, a brief description of the nature of each income-generating activity planned. NOTE: Contractors must obtain the Department's prior approval to earn program income in the course of administering the project. (See the Contract Compliance Requirements document for additional instructions pertaining to earning and accounting for program income.)

**Note: on the budget line items represented on pages 2 and 3 of the budget form, designate clearly all budget line items that represent costs in which DHR will not participate in whole or in part, i.e., in-kind costs, unallowable costs, etc. All costs for the line items so designated must be paid in full with non-DHR funds.**

### **PAGE 2**



**PERSONNEL:** Itemize each type position separately. In addition, itemize each like position with different annual salary amounts or different percentages of time spent on the project. Attach an additional sheet if necessary (use the same column headings).

- A. **Number of Persons** – List the number of persons having same position, salary, percent (%) time worked on project, and months or pay periods to be employed.
- B. **Position** – Give the Position Title. Designate part-time employees by placing (PT) after position title.
- C. **Gross Salary Per Pay Period** – Show total projected salary per pay period (monthly, biweekly, weekly or hourly rate) and indicate the pay period method used. This should reflect the pay period method that will actually be used to pay the employee. Include any anticipated salary increases. When a salary increase is anticipated during budget year, show the position for the number of pay periods at each salary level.
- D. **Percent (%) Time on Project** – Show the percentage of time employee works on this project.
- E. **Pay Periods to be Employed** – Show pay periods to be worked at each salary level.
- F. **Cost** – Multiply A x C x D x E to arrive at Total Cost. Total all staff position costs to arrive at personnel subtotal.

**Example:**

A. Number of Persons	B. Position Description	C. Gross Salary Per Pay Period	D. %Time on Project	E. Pay Periods to be Employed	F. Cost
1	Director	\$900 (Monthly)	100	8	\$7,200
		950 (Monthly)	100	4	3,800
4	Aides	200 (biweekly)	100	26	20,800
1	Bookkeeper	4.50 (hourly)	50	2080	4,680
<b>Subtotal</b>					<b>\$36,480</b>

**Fringe Benefits:** Itemize fringe benefit costs and insert the appropriate subtotal.

**Total Personnel:** Add the subtotals for personnel and fringe benefits.

**SUBCONTRACTS** Itemize individually each subcontract for a major component of the contract program, including, but not limited to, program administration, determining eligibility for services, etc. Attach an additional sheet if necessary and use the same column headings. **All subcontracts require the Department's prior written approval.** (See the Contract Compliance Requirements document for additional instructions.) **Do NOT include** costs associated with maintenance agreements, lease agreements, financial audits, data processing services, contract labor or other services for which there is a specific budget line item.

**PAGE 3**

**TRAVEL** This is to be used for staff travel. In-state consists of travel within the State of Alabama, directly related to, and required in the performance of, an employee's duties under the current contract. **Eligible in-state travel will be reimbursed at the authorized State mileage and per diem rates in effect at the time**

**the cost is actually incurred.** (Rates are available from the Department upon request.) **All out-of-state travel requires the Department's prior written approval.** Only reasonable and actual expenses incurred for out-of-state travel are allowable.

## **SPACE**

**Telephone:** Actual costs are to be budgeted when used solely for the contract program. When the contract program is part of a larger operation, the monthly charges should be prorated based on sound accounting principles. A long distance log must be maintained to document long-distance charges to be billed to the program. **Do NOT include deposit fees or the cost of purchasing telephones or telephone networks or systems.**

**Rent/Lease:** Rent is allowable pursuant to federal guidelines. Three statements of comparable rent (FM-04) are required and the lowest rent statement will be used as the maximum allowable rent. These statements should be maintained on file at the agency. Rent should be prorated according to the square footage occupied by overall operation when the project is only one component of a larger program. The above form is available from the Department upon request.

**Use Allowance:** To be used when the program occupies a building that it owns. A Use Allowance – Space form (FM-05) and three comparable rent statements (FM-04) are required and should be maintained on file at the agency. Copies of these forms are available from the Department upon request.

**Utilities:** Include all utilities associated with power, gas and water. These costs should be prorated on the same basis as rent. **Do not include such costs as Cable TV, cell phone, telephone or Internet access.**

**Upkeep (buildings/grounds):** Include costs for persons such as a janitor, lawn-keeper or maintenance person when the person is not otherwise an employee. **Do NOT include any costs that are the responsibility of the owner or lessor.**

**Minor Repairs:** Include only minor repairs. An example of a minor repair is replacing broken window panes or painting an office. Renovations such as constructing a new wall, remodeling a room, etc., are not allowable. **Do NOT include any costs that are the responsibility of the owner or lessor. All repairs to facilities require the Department's prior written permission, regardless of the cost of the repair.**

**Other (specify):** Items must not otherwise be the responsibility of the property owner or lessor. Itemize and be specific.

## **SUPPLIES**

**NOTE: COMPETITIVE BIDS MAY APPLY.**

**Office Supplies:** Include general office supplies, for example, pencils, paper, carbon paper, erasers, etc.

**Custodial Supplies:** Include only supplies related to janitorial/custodial work, for example, cleaning supplies, mops, brooms, dust pans, etc.

**Other (specify):** Include an itemized listing and detailed description of each item. Attach a separate itemized listing as needed.

**EQUIPMENT** The Department's prior written approval is required before procuring any equipment, regardless of the cost, with funds received under the contract. Attach an itemized listing for equipment represented in the following line items and include detailed identifying information for each item, for example, make, model, serial number, model number, cost, inventory number and the name of the user.

**Rental/Lease:** Include, as applicable, all costs associated with the rental or lease of equipment. (An itemized list must be attached, as described above.)

**Use Allowance:** A use allowance for equipment owned by the contractor and used in the contract program may be included in lieu of the depreciation allowance only if the equipment is not purchased in whole or in part with contract funds or with other Federal/State funds. An FM-06 “Use Allowance – Equipment” form is required and should be maintained on file by the contractor for all use allowances for equipment billed under the contract. No use allowance is allowable on any equipment item that is fully depreciated.

**Depreciation:** A depreciation allowance, as described in the Contract Compliance Requirements document, may be included in lieu of a use allowance for equipment owned by the contractor and used in the contract program only if the equipment is not purchased in whole or in part with contract funds or with other Federal/State funds. Reference the Contract Compliance Document for the appropriate methodology for calculating the applicable amount of depreciation. No depreciation is allowable on any equipment item that is fully depreciated. (An itemized list must be attached, as described above.)

**Repairs:** Include reasonable costs associated with repairs related to equipment used by the program. **Repairs that equal or exceed \$200 require the Department’s prior written permission.** (An itemized list must be attached, as described above.)

**Other (specify):** Itemize, as applicable, and be specific. (Attach a separate sheet as needed.)

## **OTHER**

**Liability Insurance:** Include only the premium costs for insurance policies required under the contract with the Department.

**Vehicle Maintenance:** Include only the costs for operating and maintaining vehicles owned by the agency that are used in the course of performing services under the contract. Include only routine costs such costs as gas, oil, etc.

**Printing:** Include the cost incurred in the course of performing services under the contract.

**Indirect Cost:** Include all indirect costs allocable to the Department. This must reflect anticipated actual indirect costs. **(General admin fees are not allowable.) Attach a detailed itemized listing that describes each cost item that makes up this line item.**

**Other (specify):** Include miscellaneous costs such as postage, audit (requires the Department’s prior approval) bank stop payment fees, etc., **but do not include any item for which a space is otherwise provided elsewhere in the budget.**

**NOTES:** Funds designated within budget line items 1 (personnel), 2 (subcontracts) or 6 (equipment) may not be exceeded without the Department’s prior written approval. These type changes, as well as changes in the budgeted salary amounts, require a budget amendment. Funds within budget line items 3 (travel), 4 (space), 5 (supplies) and 7 (other) may be transferred among those same line items as needed in order to accommodate fluctuations in actual expenditure patterns, provided there is no change in the overall budget total. These type changes do not require a budget amendment, unless they would result in the overall budget total being exceeded.